

08-07-01

A

SIDLEY AUSTIN BROWN & WOOD

A PARTNERSHIP INCLUDING PROFESSIONAL CORPORATIONS

CHICAGO
LOS ANGELES
NEW YORK
SAN FRANCISCO
SEATTLE
WASHINGTON, D. C.

717 NORTH HARWOOD
SUITE 3400
DALLAS, TEXAS 75201
TELEPHONE 214 981 3300
FACSIMILE 214 981 3400
www.sidley.com

FOUNDED 1866

BEIJING
HONG KONG
LONDON
SHANGHAI
SINGAPORE
TOKYO

J1050 U.S. PTO
09/923035

08/06/01

WRITER'S DIRECT NUMBER
214/981-3388

WRITER'S E-MAIL ADDRESS
ttarnay@sidley.com

August 6, 2001

BOX PATENT APPLICATION
Assistant Director For Patents
Washington, D.C. 20231

EXPRESS MAIL MAILING LABEL NO: EL 794575380 US
DATE OF DEPOSIT: = AUGUST 6, 2001
I hereby certify that this paper or fee is being deposited with the
United States Postal Service "Express Mail Post Office to Addressee"
service under 37 C.F.R. § 1.10 on the date indicated above and is
addressed to BOX PATENT APPLICATION, Assistant Director for
Patents, Washington, DC 20231

Derrick T. Gordon
Name of Person Mailing Paper or Fee

Derrick T. Gordon
Signature

August 6, 2001
Date of Signature

Re: New U.S. Patent Application
METHODS AND APPARATUS FOR FORMULATION,
INITIAL PUBLIC OR PRIVATE OFFERING,
AND SECONDARY MARKET TRADING OF RISK
MANAGEMENT CONTRACTS
By: John NAFEH and Kenton K. YEE
Attorney Docket: 17066/00103

Dear Sir:

Enclosed for filing are the following papers relating to
METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR PRIVATE
OFFERING, AND SECONDARY MARKET TRADING OF RISK MANAGEMENT
CONTRACTS, John NAFEH and Kenton K. YEE, inventors:

- (1) Specification (111 pages, including 95 claims and
an abstract);
- (2) Two original Executed Declarations and Power of
Attorney (4 pages each);
- (3) Formal Drawings (6 sheets);
- (4) Transmittal letter (2 pages) with PrintEFS Patent
Application Bibliographic Data (2 pages); and

Assistant Director for Patents

August 6, 2001

Page 2

- (5) Two original Assignments (3 pages each) of the invention to PARETO PARTNERS, LTD., with attached Recordation Form Cover Sheet (1 page) (in duplicate).

The amount of the filing fee is calculated below:

			Fee for small entity			Fee for other than small entity	
Fee	No. filed	No. extra *	Rate	Fee	OR	Rate	Fee
Basic fee				\$355	OR		\$
Total claims	95-20=	75	X \$9=	\$675	OR	X \$18=	\$
Independent claims	10-3=	7	X \$40=	\$280	OR	X \$80=	\$
Multiple Dependent Claim Presented	0	0	+\$135=	\$0	OR	+\$270=	\$
			Total	\$1310	OR	Total	\$

*If the difference in Column 1 is less than zero, enter "0" in Column 2.

Please charge the required fee of \$1,350.00 (\$355.00 for the small entity filing fee, \$955.00 for the excess claims fee and \$40.00 for recordal of the assignment fee) to Sidley Austin Brown & Wood's Deposit Account No. 18-1260. If additional fees are due, please charge any fees during the pendency of this application (other than the issue fee) to Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.

All correspondence is to be directed to the address associated with the Customer Number 26116.

This transmittal letter is being filed in duplicate.

Respectfully submitted,

By: 

Thomas N. Tarnay
Registration No. 41,341
Attorney for Applicants

TNT:pm
Enclosures